

SPECIAL INVESTIGATIONS UNIT – 2ND QUARTER 2011

<u>Licensee Name</u>	<u>Type of License</u>	<u>Case No.</u>	<u>Primary Allegation(s)</u>	<u>Disposition</u>	<u>Effective Date</u>
Allen, Leo	Producer	7823	Untimely notice of administrative action	Settlement Agreement: \$250 Fine; Cease & Desist from violations	6/13/11
Blackman, Jaimie	Producer	7778	Failure to maintain trustworthiness in the conduct of business	Settlement Agreement: \$300 Fine; Cease & Desist from Violations	6/27/11
Bowers Insurance Agency, Inc.	Producer	7816	Failure to Make Required Disclosure on License Application	Settlement Agreement: \$500 Fine; Cease & Desist from Violations	6/29/11
Brown & Brown of Washington, Inc.	Producer	7813	Failure to Timely Report Administrative Action	Settlement Agreement: Cease & Desist from violations	5/16/11
C.B.S. Coverage Group, Inc.	Producer	7585	Placed Policies While Unlicensed	Settlement Agreement: \$350 Fine; Cease & Desist from Violations	4/21/11
Christini, Carol	Producer	7871	Untimely Notice of Administrative Action	Settlement Agreement: \$250 Fine; Cease & Desist from Violations	6/28/11
CNIC Health Solutions, Inc.	Producer	7763	Placed Policies While Unlicensed	Settlement Agreement: \$200 Fine; Cease & Desist from Violations	4/8/11
Columbia Travel, Inc.	Unlicensed	7831	Placed Policies while Unlicensed	Settlement Agreement: \$200 Fine; Cease & Desist from Violations	6/8/11
Commonwealth Travel, Inc.	Producer	7744	Placed Policies While Unlicensed	Settlement Agreement: \$100 Fine; Cease & Desist from Violations	4/19/11

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Craig, Timothy Allen	Producer	7835	Untimely Notice of Administrative Action	Settlement Agreement: \$350 Fine; Cease & Desist from violations	5/31/11
Cross, Royce Marvin	Producer	7241	Failure to Timely Report Administrative Actions	Settlement Agreement: \$500 Fine; Cease & Desist from Violations	4/22/11
DeCristoforo, Albert P.	Producer	7142	Improperly signed customer name on finance agreement without authority	Settlement Agreement: Cease & Desist from violation; Immediate disposition of interest in any insurance business; Will not re-apply in future.	5/10/11
Delta Financial Insurance Brokerage Corporation	Producer	7808	Placed Policies While Unlicensed	Settlement Agreement: \$100 Fine; Cease & Desist from Violations	5/19/11
Diederich, Jeffrey M. & Diederich Insurance Agency, LLC	Producer	7811	Untimely notice of administrative action	Settlement Agreement: \$250 Fine; Cease & Desist from Violations	6/6/11
Forest Agency, Inc.	Producer	7793	Placed Policies While Unlicensed	Settlement Agreement: \$200 Fine; Cease & Desist from Violations	4/15/11
Frost Insurance Agency, Inc.	Producer	7820	Failure to Timely Disclose Administrative Action	Settlement Agreement: \$250 Fine; Cease & Desist from Violations	4/8/11
Gaynor, Richard Dean	Producer	7685B	Failure to Make Required Disclosure on License Application	Settlement Agreement: \$500 Fine; Cease & Desist from violations	5/10/11

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Hart, Silas R.	Producer	6277	Failure to make required disclosure on license application; Failure to report administrative actions	Settlement Agreement: \$700 Fine; Cease & Desist from violations.	5/3/11
Johl & Company, Inc.	Producer	7562	Placed Policies While Unlicensed	Settlement Agreement: \$400 Fine; Cease & Desist from Violations	4/18/11
Mayflower Environmental Insurance Agency, LLC	Producer	7879	Placed Policies While Unlicensed	Settlement Agreement: Cease & Desist from Violations	6/13/11
McCann, James B. dba McCann Capital Mgmt.	Producer	7722	Placed Policies While Unlicensed	Settlement Agreement: \$250 Fine; Cease & Desist from violations	5/12/11
Norman-Spencer McKernan Insurance Agency	Producer	7374	Placed Policies While Unlicensed	Settlement Agreement: \$200 Fine; Cease & Desist from Violations	4/1/11
Rigg Insurance Managers, Inc.	Producer	7279	Placed Policies While Unlicensed	Settlement Agreement: \$600 Fine; Cease & Desist from Violations	4/14/11
Safe Harbor Financial Insurance Agency, Inc.	Producer	7884	Untimely Notice of Administrative Action	Settlement Agreement: \$500 Fine; Cease & Desist from Violations	6/14/11
Salter, De'Andre Martin	Producer	7695	Placed Surplus Lines Policies while unlicensed	Settlement Agreement: \$500 Fine; Cease & Desist from Violations	5/5/11

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Shelnut, James Timothy	Producer	7271	Failure to Make Required Disclosure on License Application	Hearing Officer Order: \$3,000 Fine; License Revocation; Cease & Desist from Violations	4/22/11
Ubl, Myron	Producer	7836	Failure to timely report administrative action	Settlement Agreement: \$250 Fine; Cease & Desist from violation	5/21/11
United Health Advisors	Producer	7452	Failure to Timely Report Administrative Action	Settlement Agreement: \$250 Fine; Cease & Desist from Violations	4/14/11
USA Financial Distribution Corp.	Producer	7377	Placed Policies While Unlicensed	Settlement Agreement: \$750 Fine; Cease & Desist from Violations	4/11/11
Wheeler, Winslow Ballinger	Producer	7185	Criminal Conviction	Consent Agreement: License Revocation; Disposition of all insurance business interests	6/6/11
Wineland-Thomson Adventures, Inc.	Producer	7786	Placed policies while unlicensed	Settlement Agreement: \$300 Fine; Cease & Desist from Violations	6/22/11
Wright & Company Insurance Agency	Producer	7721	Placed Policies While Unlicensed	Settlement Agreement: \$15,000 Fine; Cease & Desist from Violations	6/22/11